



Small Business Innovation Research (SBIR) Overview

Spring 2014





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What is SBIR?



A congressionally mandated program...



- Established in 1982, P. L. 97-219
- Federal Government wide (11 Federal agencies and 12 DoD components participate)
- Across Federal Government (DoD, DoE, DHS, DoT, etc...) Title 15 USC, Sec 638
- 2.9% of Army's FY15 RDT&E budget (\$182M)
- Stimulate technological innovation
- Increase small business participation in federally funded R&D
- Transition Federal R&D into:
 - Government Programs
 - Industry Initiatives



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How can Small Businesses Participate?



1. Must be a U.S. for-profit small business of 500 or fewer employees
2. All work must be performed in the United States; including subcontractors
3. During Phase I, a minimum of $\frac{2}{3}$ of the effort must be performed by the proposing small business; a minimum of $\frac{1}{2}$ of the effort in Phase II
4. The Principal Investigator must spend more than $\frac{1}{2}$ of the time employed by the proposing small business.



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Participating Organizations



AMC, Research Development and Engineering Command (RDECOM)
Army Test and Evaluation Command (ATEC)
CoE, Engineer Research and Development Center (ERDC)
MEDCOM, Medical Research and Materiel Command (MRMC)
Space & Missile Defense Command (SMDC)
DA G1, Army Research Institute (ARI)
Army Program Executive Offices (PEOs)



RDECOM manages for the Army



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SBIR – Three Phase Process



Topics

Phase I

Phase II

Phase III



DoD Solicitation SBIR YY.1

SBIR Topics will be developed to support the TARDEC 30 year strategy

Feasibility Study \$100K, 6 Months

**\$50K Option
(Gap Funding)**

Prototype Development

\$1M, 2 Years

(Additional \$500K Funding)

Phase II
Enhancement

Commercialization
Readiness Program
(CRP)

Commercialization Transition to Federal Gov't

or Private Program

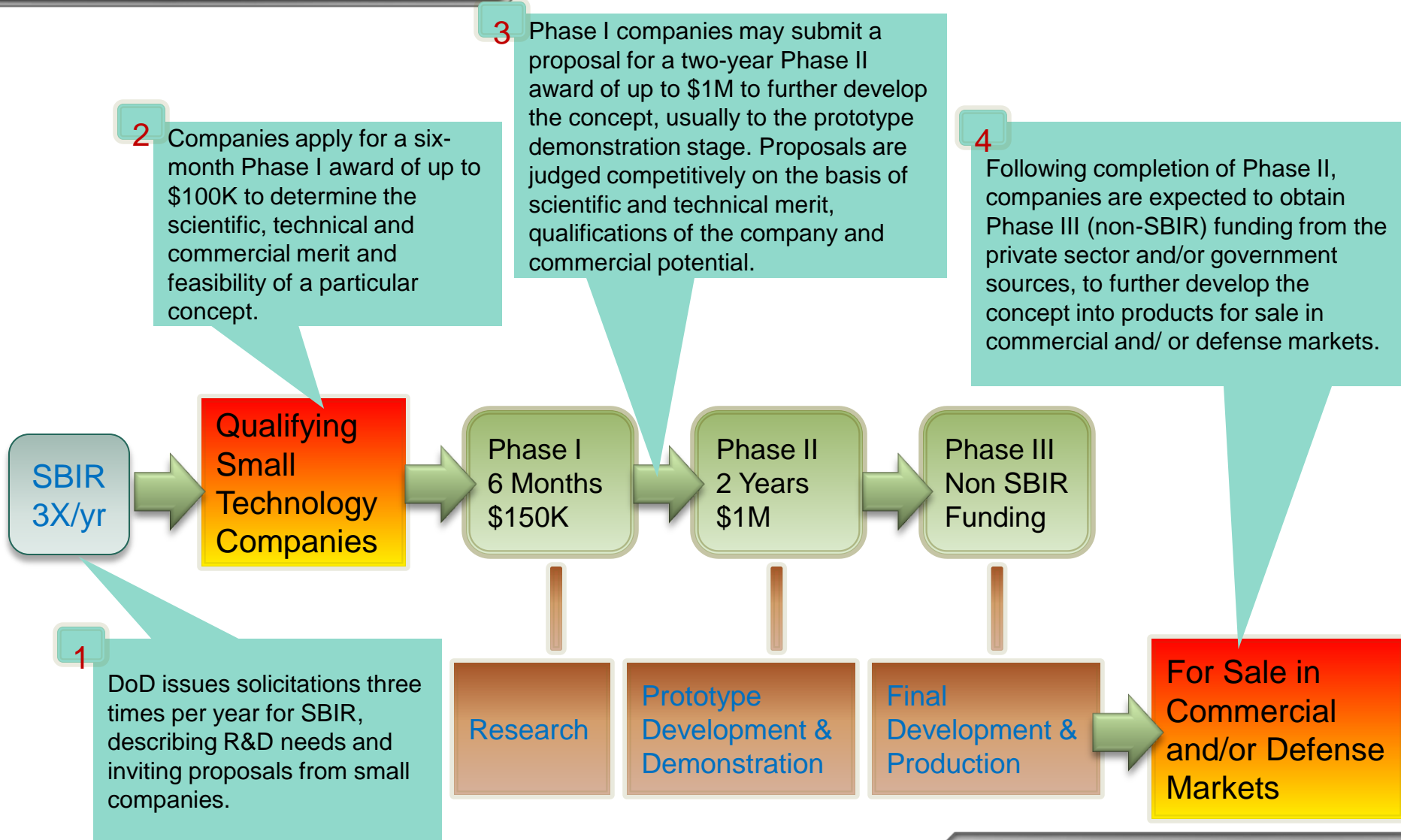
No SBIR Funds

**Phase I + Phase II =
\$1.150 M**



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SBIR – Three Phase Process





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Topic Development



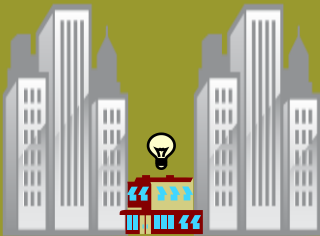
Army Topics



Warfighter Needs



PEO / PM
Technology Needs
and Risk Items



Business or Academia
Recommendations



Research Centers

DoD Approval

Topic Review and
Deconfliction by
Director, Defense
Research and
Engineering
(DDR&E)

SBIR
Topics
Database



SMALL BUSINESS

Unclassified



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Submitting a Proposal

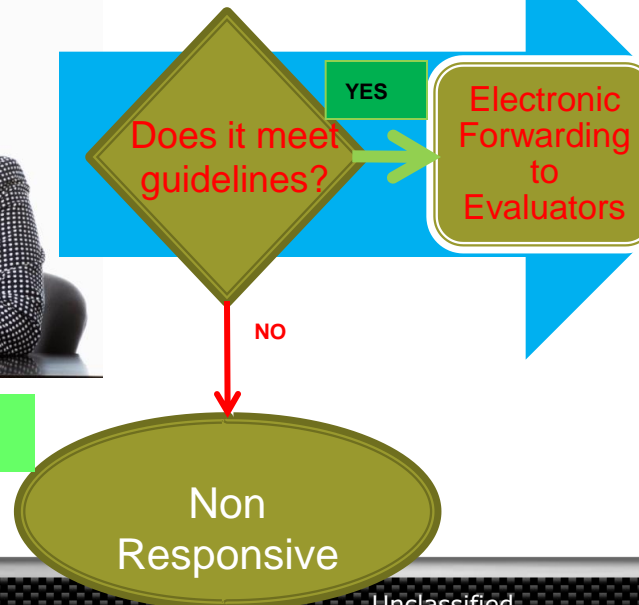


Goal: Impartial, Equitable, and Comprehensive Proposal Evaluation

Follow Solicitation Instructions
from DoD Proposal
Submission System



SMALL BUSINESS



EVALUATION

**Soundness, Technical
Merit, Innovation**

**Small
Business
Qualification**

**Commer-
cialization
Potential**

Unclassified



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Phase I Milestones



Proposal Development
2 Months

Contract Award
4 Months

	Pre Solicitation	Solicitation	Proposal Deadline	Award Goal
SBIR FYxx.1	Nov	Dec	Jan	May
SBIR FYxx.2	Apr	May	June	Oct
SBIR FYxx.3	July	Aug	Sept	Jan

- Evaluation process is a rigorous 2 tier source selection process (TET, SSEB, SSA)
- Evaluation criteria - technical feasibility, personnel/facilities, and transition potential
- Competitive Process (Phase I – 10% selected)

View solicitations and submit all proposals via DoD Web Site

<http://www.dodsbir.net/submission>



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Phase II Milestones



- Phase II Milestones
- 12.3 Phase I and before, Phase II invitations are required
- 13.1 Phase I and later, Phase II invitations no longer required
- Phase II Proposals to be submitted between 5 to 17 months after the Phase I contract award date, and
- within one of four submission cycles, 30 calendar days starting on or about **15 October, 1 March, 15 June, 1 August**



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<https://www.armysbir.army.mil>



ARMY  **SBIR**

SMALL BUSINESS INNOVATION RESEARCH

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STTR

COMMERCIALIZATION

AWARDS

SMALL BUSINESS PAGE

RELATED LINKS

CONTACT US

**SUGGEST A
RESEARCH TOPIC**

**WHAT DO SMALL BUSINESSES
DO FOR OUR SOLDIERS?**



OUR MISSION

Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs allow small, high-tech U.S. businesses (less than 500 employees) and academia the opportunity to provide innovative research and development solutions in response to critical Army needs. By capturing the tremendous and agile talents of the U.S. small business community, the SBIR and STTR programs benefit the Department of Defense (DoD), the private sector, and our national economy. This portal provides all the information necessary to participate in these programs.

14 (B) PHASE II SCHEDULE

14 (b) Proposal Submission period: 3 March – 2 April 2014

14 (b) Selections Announced: 3 June 2014

14.2 PHASE I SCHEDULE

14.2 Solicitation Pre-Release: 23 April – 22 May 2014

14.2 Solicitation Opens: 23 May 2014

14.2 Solicitation Closes: 25 June 2014



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Small Business Page



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RELATED LINKS

CONTACT US

**SUGGEST A
RESEARCH TOPIC**

FAQS ▾

RECENTLY COMPLETED PROJECT SUMMARY REPORTS

SMALL BUSINESS PAGE

This area provides:

- **Firm Profile** - view your firm's information, as it is stored on the DoD Submission Site.
- **Proposal Status/Debriefing** - Army SBIR/STTR proposal debriefing requests (for non-selected proposals).
- **Summary Reports** - Summary reports that you have created and their current status.
- **Impact/Transition Story** - Individual small businesses may complete the SBIR/STTR Impact/Transition Story form highlighting a particular SBIR/STTR project.
- **Phase III Plan** - Army SBIR Technical Assistants will contact Phase II Awardees and assist to develop and deliver Phase III plans in coordination with government project managers, Phase II company and stakeholders. Those small businesses contacted will be able to go into the Portal and find a template to build a Phase III Plan. This Phase III Plan can be used as a precursor to CPP inclusion or other transition opportunities.

- Firm Profile
- Proposal Status / Debriefing
- Summary Reports
- Impact/Transition Story
- Phase III Plan

SMALL BUSINESS PORTAL LOGIN

GO

Small Business Name (or first letters)

***** NOTICE *****

Due to recent changes in policy, the process by which firms access the Small Business Portal have changed. Although You **MUST** have an account on the [DoD SBIR/STTR Submission Site](#), you will now be required to create a new password in order to log in.

NOTE - Correspondence between the Army SBIR Program and small businesses is normally done via e-mail. Please update any Spam filters which do not allow our mail into your system. Suffixes on e-mails from this office end with @us.army.mil and @mail.mil. The Principal Investigator (PI) and Company Official (CO) should also ensure that e-mail addresses are accurate on submitted proposals.



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www.dodsbir.com



DEPARTMENT OF DEFENSE

Resource Center

Small Business Innovation Research

www.dodsbir.net



SEARCH



AWARDS

DoD SBIR
and STTR
Awards



TOPICS

Current DoD
SBIR and
STTR Topics



SITIS

Interactive
Topic Info
System

INTEREST

- [ABOUT SBIR/STTR](#)
- [CURRENT SOLICITATION](#)
- [SELECTION LISTINGS](#)
- [CONFERENCES](#)
- [DESK REFERENCE](#)
- [MAJOR ACQUISITION LIAISONS](#)
- [RAPID INNOVATION FUND](#)
- [SBIR ANNUAL REPORT](#)
- [STTR ANNUAL REPORT](#)
- [FAST TRACK/PHASE II ENHANCEMENT](#)
- [COMMERCIALIZATION READINESS PROGRAM](#)

HELP



HELPDESK

Answers Questions About
DoD SBIR and STTR



.MIL WEBSITE

.mil Program Website
for More Information



LISTSERV

Subscribe to Receive
Program Notices and Updates



SUBMISSION FAQs

FAQs about the
submission process



CONTINUOUS LEARNING

A Library of SBIR
Program Resources

SUBMISSION



SUBMISSION

DoD SBIR/STTR Proposal Preparation and Submission



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<http://www.acq.osd.mil/osbp/sbir/index.shtml>



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SMALL BUSINESS INNOVATION RESEARCH
SMALL BUSINESS TECHNOLOGY TRANSFER



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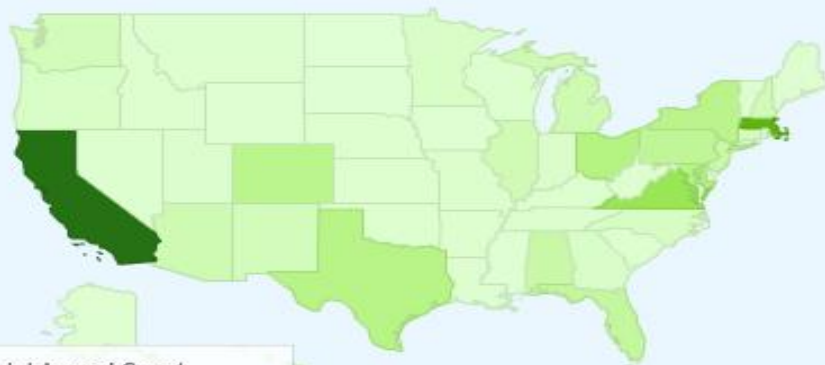
Contacts

Get Started Now!

Learn how to submit a proposal and receive R&D funding for your innovation ideas that support the Warfighter



DoD SBIR/STTR Awards by State – 2012



Total Award Count
0 632

This graphic shows SBIR/STTR program results. Click on the tabs at the bottom of the graphic to view total Awards, Commercialization or Socioeconomic results by State or by Component. Commercialization results are the combined value of sales and additional non-SBIR investments, from either a federal or private entity, which result from, extend, or logically conclude any Phase II project. Click [here](#) to download the data for these graphics for FY 2009–2011.

QUICK LINKS

Solicitation Schedule

SITIS—Topic Questions & Answers

Topics Search

Proposal Submission



GET TO KNOW THE PROGRAM

Overview of the SBIR and STTR programs and funding information for each program going back to their inception.

AWARDS

COMMERCIALIZATION

SOCIOECONOMIC

AWARDS
BY COMPONENT

COMMERCIALIZATION
BY COMPONENT

SOCIOECONOMIC
BY COMPONENT



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<http://www.acq.osd.mil/osbp/sbir/sb/getting-started-phase-1.shtml>



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[Current Solicitations](#)

[Topic Q&A \(SITIS\)](#)

[Topic Search](#)

[Proposal Submission](#)

[Process Acceleration](#)

[Resources for Small Businesses](#)

Getting Started on Phase I

How Do You Participate in SBIR?

Each year, the services and defense agencies within the DoD (commonly referred to as DoD Components) issue three SBIR solicitations and two STTR solicitations describing their R&D needs and inviting small businesses to submit proposals. To be considered for these R&D awards, follow the five steps below:

- Determine Eligibility
- Find a Topic
- Ask Questions
- Prepare Proposal
- Submit Proposal

Step 1: Determine Eligibility

Review size and ownership eligibility requirements a company must meet to participate in the programs. Requirements differ for each program; be sure you understand the limitations before moving on to the next steps.

Step 2: Find a Topic

Review the [Current Solicitations](#) to identify topics of interest. On the Current Solicitation page you will find the Solicitation Topics for each Component in HTML, PDF and MS Word formats. The links in this table list R&D topics either in Pre-Release or Open for proposal submission plus additional instructions and requirements specific to the issuing Component.

The easiest way to identify topics of interest is to use the [Topics Search Engine](#), rather than reading every topic in each Component's section. Once you find a topic, return to the Current Solicitation page to read the component-specific instructions for that topic.

Step 3: Ask Questions

"Step-By-Step Guide to Preparing and Submitting [SBIR/STTR Proposal](#)."



DoD SBIR / STTR TOPICS - Basic Search

Topic Number Search

Search by Topic Number:

Search

- OR -

Keyword Search

Search by Keyword:

Search

Limit search to within

SBIR & STTR

AND Matches within

Search Description, Keywords, and Title

Sorted by

☒ Topic #

☐ Agency

DoD SBIR/STTR Topics

Topics for current Department of Defense (DoD) Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Program Solicitations are easily accessed from this site. Search by topic number or keywords.

Current Solicitation	Pre-release Date	Begin Accepting Proposals	Close Date	Participating Components
DoD SBIR FY2013.3	July 26, 2013	August 26, 2013	September 25, 2013 6:00 AM ET	ARMY, DARPA, DTRA, NAVY, OSD
DoD STTR FY2013.B	July 26, 2013	August 26, 2013	September 25, 2013 6:00 AM ET	DARPA, DMEA, MDA

Before you submit, you need to know...





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www.dodsbir.net/sitis



DoD SBIR / STTR

SITIS - SBIR/STTR Interactive Topic Information System

As of midnight March 26, 2014, questions for solicitation STTR 14.A will no longer be accepted.

The purpose of *SITIS* is to provide technical clarification on solicitation topics. Any other questions will not receive a response. In *SITIS*, questioner and respondent remain anonymous and all technical questions and answers are posted electronically for general viewing.

Questions that deal with the technical aspect of a specific topic in the DoD STTR FY2014.A Solicitation will be accepted in *SITIS* through March 26, 2014. Once DoD begins accepting proposals on March 5, 2014, questions may only be submitted through the *SITIS* system because direct contact between proposers and topic authors is no longer allowed.

View *SITIS* Quick Scan daily to see which topics currently have Q&As or other information. To submit a technical question, click on the topic number listed in Quick Scan and scroll to the New Question section at the bottom.

If you haven't used this system before, you should first read the [SITIS Instructions](#), which explains how to use the system, as well as what to expect from *SITIS*.



SITIS Topics Quick Scan





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www.dodsbir.net/submission/



[About SBIR/STTR](#) [Solicitation](#) [Desk Reference](#) [Selection Listing](#) [Award Search](#) [Topic Search](#) [FAQs](#) [Tutorial](#) [Privacy Policy](#)

DoD SBIR/STTR

SUBMISSION



Enter the First Few Letters of your Firm Name:

And Press:

FIND FIRM



DoD Internet Resources



- Resource Center: www.dodsbir.net
 - ✓ Everything you ever wanted to know about the DoD SBIR program
- Homepage: www.acq.osd.mil/osbp/sbir/
 - ✓ Program overview, solicitations, sample proposals, and more
- Topic Search: www.dodsbir.net/topics/
 - ✓ Search current solicitation topics by topic number or keyword
- Proposal Submission: www.dodsbir.net/submission/
 - ✓ Prepare & submit proposal coversheets, commercialization report, update phase II projects
- Topic Questions: www.dodsbir.net/sitis/
 - ✓ Obtain technical clarification regarding current solicitation topics
- Awards Search: www.dodsbir.net/awards/
 - ✓ Searchable database of SBIR awards from FY83-FY11



How to Participate



- Review the Topics in the current solicitation at www.dodsbir.net/solicitation/
- Register with the SBA before submitting: <http://www.sbir.gov/registration>
- Register and submit proposals at www.dodsbir.net/submission/
- General questions? Call our Help Desk
866-SBIRHLP (724-7457)
- Questions about a solicitation topic? Contact topic author listed with the topic during the pre-release period or www.dodsbir.net/sitis/
- Subscribe to the Listserv at www.dodsbir.net/ to receive program notices and updates



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SBIR - Tips



Things to remember:

- DoD's SBIR 2014.2 Solicitation,
 - available in HTML, PDF and MS WORD formats on the web at: <http://www.dodsbir.com/solicitation/default.htm>
 - **SBIR 2014.2 will begin accepting proposals May 23, 2014; will close to proposals in June 25, 2014.**
 - CHECK the close date/time -- **plan ahead and submit early.**
- The DoD topics search Web site can be found at:
<http://www.dodsbir.net/Topics/>



SBIR - Tips



Things to remember:

- Pre-Solicitation. Speak directly to topic authors or submit questions on SITIS (SBIR-Interactive Topic Information System).
- Once solicitation begins. Questions may only be submitted through SITIS.
- SITIS will cease accepting questions two weeks prior to the solicitation close date.
- Before you submit a proposal check SITIS even if you don't need to ask a question; you should view your competitor's questions and the DoD's answers at: <http://www.dodsbir.net/sitis/>



SBIR - Tips



Things to remember:

- ALL SBIR offerors **MUST** register electronically via the Web at: <http://www.dodsbir.net/submission/>
- Via the same Web site you will submit:
 - a) DoD Proposal Cover Sheet (cover and summary abstract),
 - b) ENTIRE Technical Proposal with any appendices,
 - c) Cost Proposal, and the
 - d) Company Commercialization Report



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SBIR - Tips



Things to remember:

- DoD requires proposals submitted in PDF format only.
- DoD Help Desk Phone: 866-SBIRHLP (866-724-7457)
- A facility to submit e-mail questions can be found at <http://www.dodsbir.net/helpdesk/>



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SBIR - Tips



Things to remember:

- Prior to receiving a contract award, the offeror must be registered in the System for Award Management (SAM) database. For information regarding registration, call 1- 866-606-8220 or visit <https://www.sam.gov/portal/public/SAM/>
- You are required to, “Identify any foreign nationals you expect to be involved on this project, country of origin and level of involvement”
- Army Phase I proposals have a 20-page limit (excluding the Cost Proposal and the Company Commercialization Report).



SBIR - Tips



Things to remember:

- Must use required marking for proprietary info
- Must respond to a published topic
- No unsolicited proposals
- No external proposal info (no links)
- No subcontracting with Government agencies
- No classified proposals
- No paper/mailed proposals



SBIR - Tips



Things to remember:

Pricing and Contracts

- Phase I and Option generally Firm Fixed Price with payment every two months based on reports delivered
- Phase II generally Cost Plus Fixed Fee (CPFF)
 - ✓ Performance based scope
 - ✓ Requires adequate cost accounting system
 - ✓ Payments once or twice a month based on cost
- SBIR data rights apply



SBIR - Tips



Things to remember:

Phase I options:

- Allowed by Army (up to \$50K)
- Should be fully cost separately from the Phase I (base) approach
- Should have separate work plan from Phase I
- Both cost proposal and work plan need to be part of Phase I proposal



SBIR Program Law



- P.L. 97-219; Enacted in 1982, as part of the Small Business Innovation Development Act
- SBA Reauthorization Implementation Policy – Congress has reauthorized the SBIR/STTR Programs through September 30, 2017. The Reauthorization contains many changes, but all DoD SBIR/STTR Programs will continue to follow the current SBIR and STTR Policy Directives (unless otherwise noted in the SBA Implementation Policy) until new policy directives are released by the SBA and DoD develops policy to implement changes
- DOD SBIR Program administered in accordance with Small Business Administration (SBA) SBIR Policy Directives